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PTO/SB/05 (12/98)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

JJC97 U.S. PTO
09/994104
11/26/01

**ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231**

1. ☒ **Fee Transmittal Form**
(submit an original, and a duplicate for fee processing)

2. ☒ **Applicant claims small entity status**
(see 37 CFR 1.27.)

3. ☒ **Specification** (Total Pages) [15]
(preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention

• Brief Description of the Drawings (if filed)

- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. ☒ **Drawings (35 USC 113)** (Total Pages) [5]

4a. ☒ **Submission of Formal Drawings** (Total Pages) [1]

5. ☒ **Oath or Declaration** (Total Pages) [3]

- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application
(37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)

i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. ☐ **Application Data Sheet** (see 37 CFR).



7. ☐ **CD-ROM or CD-R in duplicate, large table or Computer Program** (Appendix)

8. ☐ **Nucleotide an/or Amino Acid Sequence Submission** (if applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. ☐ Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP) of prior application No.: _____ / _____
Prior application information: Examiner Group/Art Unit: _____

18. CORRESPONDENCE ADDRESS

Customer Number: 020210	PATENT & TRADEMARK OFFICE	<input type="checkbox"/> Correspondence address below
Name: DAVIS & BUJOLD, P.L.L.C.		Telephone: 603/624-9220
500 North Commercial Street - 4th floor		Telefax: 603/624-9229
Manchester, NH 03101-1151		E-Mail: patent@tiac.net
United States of America		
Name: Scott A. Daniels	020210	Registration No.: 42,462
Signature: 		Date: November 26, 2001

11/26/01

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : William A. MITCHELL
Serial no. :
For : SOLID ROTOR SHAFT CONSTRUCTION FOR
ALTERNATING CURRENT INDUCTION MOTOR
Docket : SPITEC P01AUS

The Commissioner of Patents and Trademarks
P. O. Box 2327
Arlington, VA 22202

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: **EL918841456US**

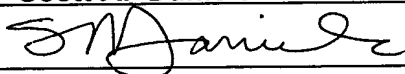
Date of Deposit: 11/26/01

I hereby state that the following attached paper or fee:

Patent Application Transmittal-1 pg.;
Fee Transmittal Ltr (+Dupl)-1 pg.;
Check for \$370;
Specification/Claims/Abstract-15 pgs.;
Submission of Formal Drawings-1 pg.; Drawings (Figs. 1-5)-5 pgs.;
Declaration & Power of Atty-3 pgs.;
Information Disclosure Statement-1pg.;
PTO Form 1449-1 pg.; 9 Citations;
Return Postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10, on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

Scott A. Daniels



Signature of person mailing paper or fee

NOTE: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings, it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT & TRADEMARK OFFICE



020210

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FEE TRANSMITTAL		<i>Complete if Known</i>																																																																																																																																																																					
for FY 2000-01 Patent fees are subject to annual revision Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.		Application No. Filing Date First Named Inventor Group Art Unit Examiner Name		William A. MITCHELL																																																																																																																																																																			
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: 04-0213 Deposit Account Name: DAVIS & BUJOLD, P.L.L.C. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		3. ADDITIONAL FEES <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Large Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Small Fee Code</th> <th style="text-align: left;">Entity Fee (\$)</th> <th style="text-align: left;">Fee Description</th> <th style="text-align: right;">Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge-late filing fee/oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge-late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for re-examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Ext.for reply w/in 1 mon</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Ext.for reply w/in 2 mon</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Ext.for reply w/in 3 mon</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Ext.for reply w/in 4 mon</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Ext.for reply w/in 5 mon</td><td></td></tr> <tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a Brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (for reissue)</td><td></td></tr> <tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petition related to provisional applns.</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Info.Disclo.Stmt.</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording ea. patent assignment per property (times No.of properties)</td><td></td></tr> <tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For ea.additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge-late filing fee/oath		127	50	227	25	Surcharge-late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for re-examination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Ext.for reply w/in 1 mon		116	400	216	200	Ext.for reply w/in 2 mon		117	920	217	460	Ext.for reply w/in 3 mon		118	1,440	218	720	Ext.for reply w/in 4 mon		128	1,960	228	980	Ext.for reply w/in 5 mon		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a Brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (for reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petition related to provisional applns.		126	180	126	180	Submission of Info.Disclo.Stmt.		581	40	581	40	Recording ea. patent assignment per property (times No.of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))		149	710	249	355	For ea.additional invention to be examined (37 CFR 1.129(b))	
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Daniels Signature: </td> <td colspan="4" style="padding: 5px; vertical-align: top;"> <div style="text-align: center;"> 020210 Date: November 26, 2001 </div> </td> </tr> <tr> <td colspan="2" style="padding: 5px;"></td> <td colspan="4" style="padding: 5px; vertical-align: top;"> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2" style="text-align: center; padding: 5px;"><i>Completed (if applicable)</i></th> </tr> </thead> <tbody> <tr> <td style="width: 50%; padding: 5px;">Registration Number</td> <td style="width: 50%; padding: 5px; text-align: center;">42,462</td> </tr> <tr> <td style="padding: 5px;">Deposit Account User ID</td> <td style="padding: 5px; text-align: center;">04-0213</td> </tr> </tbody> </table> </td> </tr> </tbody> </table>				Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee	\$370	106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing fee		114	160	214	80	Provision filing fee		SUBTOTAL (1)					\$370	2. 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U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
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